

## **APPENDIX C**



Express Mail No.: EV 272195285  
Attorney Docket: AEI VRM USNP1

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IN THE UNITED STATES PATENT  
AND TRADEMARK OFFICE

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In Re the Application of: Robert M. Porter, Anatoli V. Ledenev, and Gennady G. Gurov

Serial Number: 10/030,379

PCT No.: PCT/US00/18086

Filed: January 2, 2002

International Filing Date: June 30, 2000

Priority Date: July 2, 1999

For: System for Controlling the Delivery of Power to DC Computer Components

Assignee: Advanced Energy Industries, Inc.

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LETTER OF TRANSMITTAL

Mail Stop GAU 2838  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

Dear Sir:

Enclosed for filing are the following documents:

- a. Information Disclosure Citation by Assignee (Supplemental) pursuant to 37 C.F.R. 1.97(b)(3) along with a Statement Under 37 C.F.R. §1.97(b)(3) and MPEP §609(B1) and copies of references cited;
- b. this Letter of Transmittal;
- c. Certificates of Mailing for the above documents and a return postcard.

Please confirm receipt of the documents by applying your date stamp on the enclosed postcard and returning it to me.

I have this 23<sup>rd</sup> day of September, 2003, either myself personally or through my direction of staff at this office, deposited all of the items in the above letter of transmittal with the United States Postal Service as First Class Mail, postage prepaid, for mailing to the Mail Stop GAU 2838, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

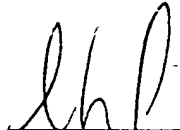
Please address all future correspondence to: Santangelo Law Offices, P.C., 125 South Howes, Third Floor, Fort Collins, CO 80521.

Dated this 23<sup>rd</sup> day of September, 2003.

Respectfully submitted,

SANTANGELO LAW OFFICES, P.C.

By:



Alfred K. Wiedmann Jr.

ATTORNEY FOR ASSIGNEE

PTO No. 48,033

125 South Howes, Third Floor

Fort Collins, Colorado 80521

(970) 224-3100



Express Mail No.: EV 27219520 US  
Attorney Docket: AELV 001 USNP1

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IN THE UNITED STATES PATENT  
AND TRADEMARK OFFICE

In Re the Application of: Robert M. Porter, Anatoli V. Ledenev, and Gennady G. Gurov

Serial Number: 10/030,379  
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Priority Date: July 2, 1999

For: System for Controlling the Delivery of Power to DC Computer Components

Assignee: Advanced Energy Industries, Inc.

CERTIFICATE OF EXPRESS MAILING

I, Cheryl A. Swanson, hereby certify to the truth of the following items:

1. I am an employee of Santangelo Law Offices, P.C., 125 South Howes, Third Floor, Fort Collins, Colorado 80521.
2. I have this day deposited the attached Letter of Transmittal with the United States Postal Service as "Express Mail", postage prepaid, for mailing to Mail Stop GAU 2838, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

Dated this 23 day of September, 2003.

Cheryl A. Swanson  
Cheryl A. Swanson



Express Mail No.: EV 272195205 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  <b>INFORMATION DISCLOSURE          CITATION BY ASSIGNEE          (SUPPLEMENTAL)</b>	APPLICATION NO:	10/030.379
	FILING DATE:	January 2, 2002
	FIRST NAMED INVENTOR:	Porter
	ART UNIT:	2838
	EXAMINER NAME:	
	DOCKET NO:	AEI VRM USNP1

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### I. U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NO. & KIND CODE (if known)	PUB'N DATE mm-dd-yyyy	PATENTEE OR APPLICANT NAME	CLASS	SUBCLASS	FILING DATE mm-dd-yyyy
	3,628,123	12/14/1971	Rosa et al.	321	9	03/11/1970
	6,023,154	02/08/2000	Martinez	323	272	10/27/1998
	6,144,194	11/07/2000	Varga	323	285	07/13/1998
	6,232,754 B1	05/15/2001	Liebler et al.	323	272	08/15/1999
	6,281,666 B1	08/28/2001	Tressler et al.	323	272	03/14/2000
	6,462,963 B1	10/08/2002	Wittenbreder	363	16	02/12/2002
	6,426,964 B2	10/08/2002	Porter et al.	363	21.01	10/23/2001
	6,583,992 B2	06/14/2003	Porter et al.	363	21.01	08/16/2002

### II. FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	Foreign Patent Document Country Code, Number, Kind Code (if known)	PUB'N DATE mm-dd-yyyy	PATENTEE OR APPLICANT NAME	TRANSLATION	
				Yes	No
	WO 02/17469 A1	02/28/2002	Advanced Energy Industries, Inc.		

### III. OTHER DOCUMENTS

(Including Author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)

	International Preliminary Examination Report for PCT/US01/25749, July 10, 2002
	U.S. Patent Application, "Method For Power Conversion Using Combining Transformer", filed 07/08/2003; s/n 10/409,899; Preliminary Amendment 6 pages; Specification 28 pages, drawings 13 pages
	U.S. Patent Application, "Multiple Power Converter System Using Combining Transformers", filed 02/18/2003 s/n Unknown; Preliminary Amendment 52 pages; Specification 73 pages, drawings 22 pages

	Zhou, X. et al., presented by Dr. Fred C. Lee, "Voltage Regulator Module for Future Generation of Processors" Document prepared for the Center for Power Electronics Systems, Virginia Polytechnic Institute and State University, Blacksburg, VA 24061, November 10, 1998
EXAMINER	DATE CONSIDERED
EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.	



Express Mail No.: EV 272195305 US  
Attorney Docket: AEI VRM USNPT

JUN 18 2004

IN THE UNITED STATES PATENT  
AND TRADEMARK OFFICE

TECH CENTER 2800

In Re the Application of: Robert M. Porter, Anatoli V. Ledenev, and Gennady G. Gurov

Serial Number: 10/030,379  
PCT No.: PCT/US00/18086

Filed: January 2, 2002  
International Filing Date: June 30, 2000  
Priority Date: July 2, 1999

For: System for Controlling the Delivery of Power to DC Computer Components

Assignee: Advanced Energy Industries, Inc.

**STATEMENT UNDER 37 C.F.R. §1.97(b)(3) and MPEP SECTION 609(B1)**

As a means of complying with the duty of disclosure set forth in 37 C.F.R. §1.56, §1.97, and §1.98, the information listed and attached may be material to the examination of the referenced application. Pursuant to 37 C.F.R. 1.97(b)(3) and Section 609(B1) of the MPEP, no fee is required as this information is submitted prior to a first office action on the merits.

Pursuant to 37 C.F.R. §1.97(g), this Information Disclosure Statement should not be construed as a representation that a search has been made. Additionally, pursuant to 37 C.F.R. §1.97(h), this Statement should not be construed as an admission that the information cited in this statement is or is considered to be material to patentability as defined in 37 C.F.R. §1.56(b). A copy of each item is enclosed with a listing similar to PTO Form 1449 for the examiner's convenience.

Dated this 23<sup>rd</sup> day of September, 2003

Respectfully submitted,  
SANTANGELO LAW OFFICES, P.C.

By: 

Alfred K. Wiedmann Jr.

Attorney for Assignee

PTO No. 48,033

125 South Howes, Third Floor

Fort Collins, Colorado 80521

(970) 224-3100



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Attorney Docket: AEI VRM USNPI

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JUN 11 2004

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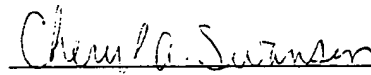
Assignee: Advanced Energy Industries, Inc.

CERTIFICATE OF EXPRESS MAILING

I, Cheryl A. Swanson, hereby certify to the truth of the following items:

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2. I have this day deposited the attached Information Disclosure Citation by Assignee (Supplemental) pursuant to 37 C.F.R. 1.97(b)(3) along with a Statement Under 37 C.F.R. §1.97(b)(3) and MPEP §609(B1) and copies of references cited with the United States Postal Service as "Express Mail", postage prepaid, for mailing to Mail Stop GAU 2838, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

Dated this 23 day of September, 2003.

  
Cheryl A. Swanson



BLCH, TX

JUN 07 2004

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TO: Mail Stop GAU 2838  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

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Attorney Docket: AEI VRM USNP1  
Serial Number: 10/030,379  
Filed: January 2, 2002



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